

Exemptions granted under section 309(2) of the Securities and Futures Ordinance (Cap. 571)

Updated as at
31 Jan 2018

Exemptions granted in respect of (i) corporations issuing securities listed on The Stock Exchange of Hong Kong Limited and (ii) other persons are set out below. These exemptions are granted to (in respect of (i)) the corporations, their substantial shareholders, directors and chief executives and (in respect of (ii)) other persons, from compliance with Part XV of the Securities and Futures Ordinance in respect of the obligations that derive from their interests in the securities listed on The Stock Exchange of Hong Kong Limited. This list is updated every month.

Guidelines setting out the basis on which exemptions are granted under s.309 of the SFO are published on the Part XV page of the SFC's website. The exemptions available fall into 5 categories, which are described in the Guidelines.

Category 1 partial exemptions for corporations whose shares are listed on The Stock Exchange of Hong Kong Limited and on another stock exchange

Name	SEHK stock codes	
1 Manulife Financial Corporation	0945	
2 Standard Chartered PLC	2888	(and 4305, 5348 and 5890)
3 Prudential plc	2378	
4 KAZ Minerals PLC	0847	
5 Coach, Inc. - RS	6388	
6 Fast Retailing Co., Ltd. - DR	6288	(only applies to Fast Retailing Co., Ltd and its substantial shareholders)

Category 2 exemptions for corporations none of whose shares are listed on The Stock Exchange of Hong Kong Limited

Category 2 exemptions for corporations (none of whose shares are listed on The Stock Exchange of Hong Kong Limited) in respect of their structured products listed on The Stock Exchange of Hong Kong Limited

Name	Period of exemption (Note 1)	
	Commencing on	Ending on
1 BOCI Aisa Limited	21 December 2007	20 December 2018
2 BNP Paribas Issuance B.V.	21 December 2007	20 December 2018
3 Citigroup Global Markets Holdings Inc. (Note 2)	15 June 2009	14 June 2015
4 Credit Suisse AG	21 December 2007	20 December 2018
5 Daiwa Capital Markets Hong Kong Limited (Note 3)	20 July 2010	19 July 2016
6 Goldman Sachs Structured Products (Asia) Limited	21 December 2007	20 December 2018
7 Haitong International Securities Company Limited (Note 4)	16 March 2017	15 March 2018
8 J.P. Morgan Structured Products B.V.	21 December 2007	20 December 2018
9 Macquarie Bank Limited	1 January 2008	31 December 2018
10 Nomura International plc (Note 5)	10 December 2009	9 December 2015
11 SG Issuer	1 April 2016	31 March 2018
12 SGA Société Générale Acceptance N.V. (Note 6)	21 December 2007	20 December 2016
13 Standard Chartered Bank (Note 7)	28 June 2010	27 June 2016
14 The Hongkong and Shanghai Banking Corporation Ltd	23 December 2007	22 December 2018
15 UBS AG	21 December 2007	20 December 2018

- Note 1: Exemptions for these corporations are granted for periods of 12 months (or less) and exempt structured products issued and listed on The Stock Exchange of Hong Kong Limited during the period of exemption for the life of the structured products.
- Note 2: The exemption granted to Citigroup Global Markets Holdings Inc. expired on 14 June 2015. Previous exemptions granted to Citigroup Global Markets Holdings Inc. continue to apply with respect to all structured products issued by Citigroup Global Markets Holdings Inc. and listed on The Stock Exchange of Hong Kong Limited between (i) 21 December 2007 and 20 December 2008 and (ii) 15 June 2009 and 14 June 2015.
- Note 3: The exemption granted to Daiwa Capital Markets Hong Kong Limited expired on 19 July 2016. Previous exemptions granted to Daiwa Capital Markets Hong Kong Limited continue to apply with respect to all structured products issued by Daiwa Capital Markets Hong Kong Limited and listed on The Stock Exchange of Hong Kong Limited between 20 July 2010 and 19 July 2016.
- Note 4: Previous exemption granted to Haitong International Securities Company Limited expired on 6 March 2017 but continues to apply with respect to all structured products issued by Haitong International Securities Company Limited and listed on The Stock Exchange of Hong Kong Limited between 7 March 2016 and 6 March 2017.
- Note 5: The exemption granted to Nomura International plc expired on 9 December 2015. Previous exemptions granted to Nomura International plc continue to apply with respect to all structured products issued by Nomura International plc and listed on The Stock Exchange of Hong Kong Limited between 10 December 2009 and 9 December 2015.
- Note 6: The exemption granted to SGA Société Générale Acceptance N.V. expired on 20 December 2016. Previous exemptions granted to SGA Société Générale Acceptance N.V. continue to apply with respect to all structured products issued by SGA Société Générale Acceptance N.V. and listed on The Stock Exchange of Hong Kong Limited between 21 December 2007 and 20 December 2016.
- Note 7: The exemption granted to Standard Chartered Bank expired on 27 June 2016. Previous exemptions granted to Standard Chartered Bank continue to apply with respect to all structured products issued by Standard Chartered Bank and listed on The Stock Exchange of Hong Kong Limited between 28 June 2010 and 27 June 2016.

Category 2 exemptions for corporations (none of whose shares are listed on The Stock Exchange of Hong Kong Limited) in respect of their debt securities issued under debt programmes and listed on The Stock Exchange of Hong Kong Limited

Name	Programme
1 AirAsia Global Notes Limited	US\$1,000,000,000 Multicurrency Medium Term Note Programme
2 Amipeace Ltd.	HK\$10,000,000,000 Medium Term Note Programme
3 AMTD Group Company Limited	U.S.\$500,000,000 Medium Term Note Programme
4 AVIC International Leasing Co., Ltd.	US\$500,000,000 Medium Term Note Programme
5 AVIC International Leasing Co., Ltd.	U.S.\$500,000,000 Medium Term Note Programme
6 Azure Nova International Finance Limited	U.S.\$10,000,000,000 Medium Term Note Programme
7 Azure Orbit II International Finance Limited	US\$1,000,000,000 Medium Term Note Programme

8	Azure Orbit IV International Finance Limited	U.S.\$7,000,000,000 Medium Term Note Programme
9	Bank of China (Luxembourg) S.A.	US\$30,000,000,000 Medium Term Note Programm
10	Boom Up Investments Limited	US\$1,000,000,000 Medium Term Note Programme
11	CALC Bonds Limited	US\$3,000,000,000 Medium Term Note Programme
12	Castle Peak Power Finance Company Limited	U.S.\$2,000,000,000 Medium Term Note Programme
13	Cathay Pacific MTN Financing Limited	US\$2 billion Medium Term Note Programme
14	CCBL (Cayman) 1 Corporation Limited	US\$5,000,000,000 Guaranteed Medium Term Note Programme
15	CDBI Treasure I Limited	US\$500,000,000 Medium Term Note Programme
16	CDBL Funding 1	U.S.\$3,000,000,000 Medium Term Note Programme
17	CDBL Funding 2	US\$3,000,000,000 Medium Term Note Programme
18	Central Plaza Development Limited	US\$2,000,000,000 Guaranteed Medium Term Programme
19	Champion MTN Limited	US\$1,000,000,000 Guaranteed Medium Term Programme
20	Charming Light Investments Ltd. and United Wealth Development Ltd.	US\$8,000,000,000 Medium Term Note Programme
21	Cheung Kong Finance (MTN) Limited and Joynote Ltd	US\$2,000,000,000 Medium Term Note Programme
22	Cheung Kong Infrastructure Finance (BVI) Limited	US\$2,000,000,000 Euro Medium Term Note Programme
23	China Cinda Finance (2015) I Limited and China Cinda Finance (2015) II Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
24	China Cinda Finance (2017) I Limited and China Cinda Finance (2017) II Limited	US\$3,000,000,000 Medium Term Note Programme
25	China Construction Bank (Asia) Corporation Limited	US\$5,000,000,000 Medium Term Note Programme
26	China Development Bank Corporation and China Development Bank Corporation Hong Kong Branch	US\$30,000,000,000 Debt Issuance Programme
27	China Great Wall International Holdings III Limited	U.S.\$6,500,000,000 Medium Term Note Programme
28	CICC Hong Kong Finance 2016 MTN Limited	US\$3,000,000,000 Guaranteed Medium Term Note Programme
29	CITIC Securities Finance MTN Co., Ltd.	US\$3 billion Medium Term Note Programme
30	CK Property Finance (MTN) Limited	US\$5,000,000,000 Euro Medium Term Note Programme
31	CMBLEMTN1 Limited	U.S.\$5,000,000,000 Medium Term Note Programme
32	CNPC General Capital Limited	US\$7,000,000,000 Euro Medium Term Note Programme
33	Connery Capital Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
34	COSL Singapore Capital Ltd.	US\$3,500,000,000 Euro Medium Term Note Programme
35	DianJian Haiyu Limited, Dianjian International Finance Limited, Leader Goal International Limited	U.S.\$2,500,000,000 Medium Term Note and Senior Perpetual Securities Programme
36	Eastern Creation II Investment Holdings Ltd.	US\$6,000,000,000 Guaranteed Euro Medium Term Note Programme
37	Future Days Limited	US\$3,000,000,000 Medium Term Note Programme
38	Goodman HK Finance	US\$2,000,000,000 Medium Term Note Programme
39	Greenland Global Investment Limited	US\$3,000,000,000 Guaranteed Medium Term Notes Programme
40	Guangzhou Metro Investment Finance (BVI) Ltd.	US\$3,000,000,000 Guaranteed Medium Term Note Programme
41	HLP Finance Limited	US\$3 billion Medium Term Note Programme
42	Hong Kong Science and Technology Parks Corporation	HK\$1,707,000,000 Guaranteed Medium Term Note Programme
43	Horsepower Finance Limited	US\$1,200,000,000 Medium Term Note Programme
44	Huarong Finance 2017 Co., Ltd.	U.S.\$10,000,000,000 Medium Term Note Programme
45	Huarong Finance II Co., Ltd	US\$11,000,000,000 Medium Term Note Programme
46	Hysan (MTN) Limited	US\$1,500,000,000 Medium Term Note Programme
47	ICBCIL Finance Co. Limited	US\$10,000,000,000 Medium Term Note Programme
48	Industrial Bank Co., Ltd.	U.S.\$5,000,000,000 Medium Term Note Programme
49	Inventive Global Investments Limited	U.S.\$1,500,000,000 Medium Term Note Programme
50	Joyous Glory Group Limited	US\$1,000,000,000 Medium Term Note Programme
51	K.Wah International Financial Services Limited	US\$1,000,000,000 Medium Term Note Programme
52	Midea Investment Development Company Limited	US\$3,000,000,000 Medium Term Note Programme
53	Modern Terminals Capital Limited	US\$1 billion Medium Term Note Programme
54	MTR Corporation (C.I.) Limited	US\$4 billion Medium Term Note Programme
55	NWD (MTN) Limited	US\$4,000,000,000 Medium Term Note Programme
56	NWS (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
57	PETRONAS Capital Limited	US\$15,000,000,000 Medium Term Note Programme
58	Proven Glory Capital Limited	US\$5,000,000,000 Medium Term Note Programme
59	R-REIT International Finance Limited	US\$1,000,000,000 Guaranteed Medium Term Note Programme
60	RH International Finance Limited	US\$1,000,000,000 Medium Term Note Programme
61	Shanghai Pudong Development Bank Co., Ltd., Hong Kong Branch	US\$5,000,000,000 Euro Medium Term Note Programme
62	Sichuan Development Holding Co., Ltd. and Yieldking Investment Limited	US\$2,000,000,000 Medium Term Note Programme
63	Silverbell Asia Limited	US\$1,000,000,000 Medium Term Note Programme
64	Sino (MTN) Limited	US\$1,000,000,000 Medium Term Note Programme
65	Sinochem Offshore Capital Company Limited	US\$5,000,000,000 Global Medium Term Note Programme
66	Soar Great Limited	US\$1,500,000,000 Guaranteed Medium Term Note Programme
67	Standard Chartered Bank (Hong Kong) Limited and Standard Chartered Bank	US\$50,000,000,000 Debt Issuance Programme
68	State Elite Global Limited	US\$2,000,000,000 Medium Term Note Programme
69	State Grid Overseas Investment (2016) Limited	US\$7,700,000,000 Medium Term Note Programme
70	Sun Hung Kai Properties (Capital Market) Limited	US\$7,000,000,000 Medium Term Note Programme
71	Sunlight REIT MTN Limited	US\$1,000,000,000 Medium Term Note Programme
72	Swire Pacific MTN Financing Limited	US\$5,000,000,000 Medium Term Note Programme
73	Swire Properties MTN Financing Limited	US\$3,000,000,000 Medium Term Note Programme
74	The Hongkong and Shanghai Banking Corporation Limited	US\$20,000,000,000 Medium Term Note Programme
75	The Hong Kong Mortgage Corporation Limited	US\$6,000,000,000 Medium Term Note Programme
76	The Link Finance (Cayman) 2009 Limited	US\$5,000,000,000 Guaranteed Euro Medium Term Note Programme
77	Unican Limited	US\$1,000,000,000 Guaranteed Euro Medium Term Note Programme
78	Urban Renewal Authority	US\$1 billion Medium Term Note Programme
79	Vanke Real Estate (Hong Kong) Company Limited	US\$4,400,000,000 Medium Term Note Programme
80	Wharf Finance (BVI) Limited, Wharf MTN (Singapore) Pte. Ltd., Wharf Finance (BVI) No.1 Limited, Wharf Finance (No.1) Limited and Wharf Finance Limited	US\$5 billion Medium Term Note Programme
81	Wharf REIC Finance (BVI) Limited	U.S.\$3,000,000,000 Medium Term Note Programme
82	Wheelock Finance (BVI) Limited, Wheelock Finance (No.1) Limited, Wheelock Finance Limited and Wheelock MTN (Singapore) Pte. Ltd.	US\$3 billion Medium Term Note Programme

Category 2 exemptions for corporations (none of whose shares are listed on The Stock Exchange of Hong Kong Limited) in respect of their particular issue of debt securities and listed on The Stock Exchange of Hong Kong Limited

Name	SEHK Stock codes
1 ABCL Glory Capital Limited	5677
2 Airvessel Finance Holding Limited	5789
3 Alibaba Group Holding Limited	5842
4 Alibaba Group Holding Limited	5843
5 Alibaba Group Holding Limited	5844
6 Alibaba Group Holding Limited	5845
7 Amber Circle Funding Limited	4586
8 Amber Treasure Ventures Limited	5209
9 Amber Treasure Ventures Limited	5243
10 Anhui Transportation Holding Group (H.K.) Limited	5529
11 Asia Pacific Ports Development Company Limited	85711
12 Asia View Limited	5788
13 AVIC International Finance & Investment Limited	5965
14 AVIC International Finance & Investment Limited	5966
15 Axiata SPV1 (Labuan) Limited	4320
16 Azure Orbit III International Finance Limited	5620
17 Azure Orbit III International Finance Limited	5621
18 Azure Orbit International Finance Limited	5909
19 Bank of China (Hong Kong) Limited	4316
20 Baosteel Financing 2015 Pty Ltd	5866
21 Baosteel Hong Kong Investment Company Limited	5584
22 Bao-Trans Enterprises Limited	5877
23 Bao-Trans Enterprises Limited	6004
24 BCEG (HongKong) Company Limited	5532
25 Beijing Capital Polaris Investment Co. Ltd	5889
26 Beijing Enterprises Water Capital Management Limited	5938
27 Beijing Gas Singapore Capital Corporation	5213
28 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5520
29 Beijing State-Owned Assets Management (Hong Kong) Company Limited	5521
30 Bestgain Real Estate Limited	5914
31 Blue Skyview Company Limited	5364
32 Bluestar Finance Holdings Limited	4550
33 Bluestar Finance Holdings Limited	4556
34 Bluestar Finance Holdings Limited	5599
35 Boom Up Investments Limited	5544
36 Bright Food Hong Kong Limited	5948
37 Bright Galaxy International Limited	5927
38 Cable and Wireless International Finance B.V.	1077
39 Cable and Wireless International Finance B.V.	1078
40 Caiyun International Investment Limited	5682
41 CALC Bond 1 Limited	5642
42 CALC Bond 2 Limited	4300
43 CALC Bond 3 Limited	5390
44 CALC Bond 3 Limited	5391
45 CCB Life Insurance Company Limited	5437
46 CCBL (Cayman) Corporation Limited	5548
47 CCCI Treasure Limited	5893
48 CCTI 2017 Ltd	5258
49 CDBL Funding 1	5849
50 CDBL Funding 1	5850
51 Central Plaza Development Ltd.	5919
52 Century Master Investment Co. Ltd.	5968
53 CGNPC International Limited	5058
54 CGNPC International Limited	5059
55 CGNPC International Limited	5519
56 Chalco Hong Kong Investment Company Limited	5727
57 Chalco Hong Kong Investment Company Limited	5920
58 Chalco Hong Kong Investment Company Limited	5985
59 Chalieco Hong Kong Corporation Limited	5321
60 Chalieco Hong Kong Corporation Limited	5702
61 Chang Development International Limited	5345
62 Changde Urban Construction and Investment Group Co., Ltd.	5328
63 Changsha Pilot Investment Holdings Co., Ltd.	5315
64 Charter Style International Limited	85993
65 Chengdu Communications Investment Group Corporation Limited	5062
66 Chengdu Xingcheng Investment Group Co., Ltd.	5314
67 Cheung Kong Bond Securities (02) Limited	4559
68 Cheung Kong Bond Securities (03) Limited	4595
69 Cheung Kong Infrastructure Finance (BVI) Limited	5060
70 China Cinda Finance (2014) Limited	5747
71 China Cinda Finance (2014) Limited	5748
72 China CITIC Bank International Limited	4594
73 China CITIC Bank International Limited	5728
74 China CITIC Bank International Limited	5992
75 China Clean Energy Development Limited	5568
76 China Development Bank Corporation	85904
77 China Development Bank Corporation	85905
78 China Development Bank Corporation	85933
79 China Development Bank Corporation	85934

80	China Energy Reserve and Chemicals Group Finance III Limited	5399
81	China Energy Reserve and Chemicals Group Holding Limited	5639
82	China Energy Reserve and Chemicals Group Overseas Capital Company Limited	5512
83	China Energy Reserve and Chemicals Group Overseas Company Limited	5503
84	China Great Wall International Holdings II Limited	5533
85	China Life Insurance (Overseas) Co., Ltd	5250
86	China Merchants Finance Company Limited	4548
87	China Merchants Finance Company Limited	5554
88	China Merchants Finance Company Limited	5555
89	China Minmetals Corporation	5009
90	China Oceanwide International Financial Management Co., Ltd	5623
91	China Overseas Finance (Cayman) II Limited	4503
92	China Overseas Finance (Cayman) III Limited	5987
93	China Overseas Finance (Cayman) III Limited	5988
94	China Overseas Finance (Cayman) III Limited	5989
95	China Overseas Finance (Cayman) V Limited	4579
96	China Overseas Finance (Cayman) V Limited	4580
97	China Overseas Finance (Cayman) VI Limited	5745
98	China Overseas Finance (Cayman) VI Limited	5746
99	China Overseas Finance (Cayman) VI Limited	5760
100	China Overseas Finance Investment (Cayman) V Limited	5600
101	China Overseas Grand Oceans Finance II (Cayman) Limited	6012
102	China Overseas Land International (Cayman) Limited	5541
103	China Railway Resources Huitung Limited	5904
104	China Railway XunJie Co., Limited	5244
105	China Railway XunJie Co., Limited	5692
106	China Resources Power East Foundation Co., Ltd.	4516
107	China Shenhua Overseas Capital Company Limited	5862
108	China Shenhua Overseas Capital Company Limited	5863
109	China Shipping Overseas Finance 2013 Limited	6020
110	China Southern Power Grid International Finance (BVI) Co., Limited	4583
111	China Southern Power Grid International Finance (BVI) Co., Limited	4598
112	China State Construction Finance (Cayman) I Limited	5916
113	China State Construction Finance (Cayman) II Limited	5037
114	China State Construction Finance (Cayman) II Limited	5038
115	China Taiping Capital Limited	4582
116	China Taiping New Horizon Limited	5984
117	China Uranium Development Company Limited	5971
118	China Yangtze Power International (BVI) 1 Limited	5300
119	China Yangtze Power International (BVI) 2 Limited	5301
120	Chinalco Capital Holdings Limited	4301
121	Chinalco Capital Holdings Limited	5438
122	Chinalco Finance Holdings Limited	5854
123	Chiyu Banking Corporation Limited	5034
124	Chongqing Nan'an Urban Construction & Development (Group) Co., Ltd.	5699
125	Chouzhou International Investment Limited	5056
126	CITIC Securities Finance 2013 Co., Ltd.	5937
127	CITIC Telecom International Finance Limited	5908
128	CLP Power HK Finance Ltd.	5740
129	CLP Power Hong Kong Financing Limited	4306
130	CLP Power Hong Kong Financing Limited	4318
131	CMHI Finance (BVI) Co., Ltd.	4302
132	CNI Capital Limited	85725
133	CNMC International Capitals Company Limited	5608
134	CNOOC Curtis Funding No. 1 Pty Ltd	5972
135	CNOOC Curtis Funding No. 1 Pty Ltd	5973
136	CNOOC Finance (2003) Limited	2568
137	CNOOC Finance (2011) Limited	4506
138	CNOOC Finance (2011) Limited	4507
139	CNOOC Finance (2012) Limited	4546
140	CNOOC Finance (2012) Limited	4547
141	CNOOC Finance (2013) Limited	5940
142	CNOOC Finance (2013) Limited	5941
143	CNOOC Finance (2013) Limited	5942
144	CNOOC Finance (2015) Australia Pty Ltd	5506
145	CNOOC Finance (2015) Australia Pty Ltd	5507
146	CNOOC Finance (2015) U.S.A. LLC	5508
147	CNOOC Nexen Finance (2014) ULC	5738
148	CNOOC Nexen Finance (2014) ULC	5739
149	CNPC (HK) Overseas Capital Ltd.	4513
150	CNPC (HK) Overseas Capital Ltd.	4514
151	CNPC General Capital Limited	4544
152	CNPC General Capital Limited	5750
153	CNPC General Capital Limited	5922
154	CNPC General Capital Limited	5923
155	COSCO Pacific Finance (2013) Company Limited	5900
156	COSL Finance (BVI) Limited	4563
157	Cosmos Boom Investment Limited	5534
158	CRCC Yupeng Limited	5778
159	CRCC Yuxiang Limited	5945
160	Crotona Assets Limited	5724
161	CSCEC Finance (Cayman) I Limited	5574
162	CSCEC Finance (Cayman) II Limited	5232
163	CSCEC Finance (Cayman) II Limited	5233
164	CSCEC Finance (Cayman) II Limited	5668
165	CSCEC Finance (Cayman) II Limited	5669
166	CSCI Finance (2015) Co. Ltd	5564

167	CSSC Capital 2015 Limited	5876
168	Dah Sing Bank, Limited	5316
169	Dah Sing Bank, Limited	6021
170	Dangdai International Investments Ltd	5027
171	Dawn Victor Limited	5524
172	Dianjian Haixing Limited	5816
173	Double Rosy Limited	5829
174	DYNAMIC MISSION INVESTMENTS LIMITED	5386
175	Eastern Air Overseas (Hong Kong) Corporation Limited	5022
176	Eastern Creation Investment Holdings Ltd.	5714
177	eHi Car Services Limited	5594
178	e-Sun International Finance Limited	85978
179	Fita International Limited	4315
180	FPC Treasury Limited	5924
181	Franshion Brilliant Limited	5030
182	Franshion Brilliant Limited	5229
183	Franshion Brilliant Limited	5347
184	Franshion Brilliant Limited	5385
185	Franshion Brilliant Limited	5713
186	Franshion Brilliant Limited	5977
187	Fujian Zhanglong Group Co., Ltd.	5331
188	FWD Group Limited	5019
189	FWD Group Limited	5221
190	FWD Limited	4416
191	FWD Limited	5351
192	FWD Limited	5803
193	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5057
194	Gansu Provincial Highway Aviation Tourism Investment Group Co., Ltd.	5304
195	Gaoxin International Investment Co., Ltd	5335
196	GOHL Capital Limited	5352
197	Goldwind New Energy (HK) Investment Limited	5545
198	GRAM International Limited	5587
199	Green Fortune Capital Limited	5288
200	Greenland Global Investment Limited	5768
201	Greenland Global Investment Limited	5769
202	Guangxi Communications Investment Group Corporation. Ltd	5921
203	Guangxi Financial Investment Group Co., Ltd.	5098
204	GUANGZHOU Silk Road Investment Limited	5323
205	Guotai Junan Financial Holdings (BVI) Limited	5754
206	Haichuan International Investment Co., Ltd.	4538
207	Haitian (BVI) International Investment Development Limited	5061
208	Haitong International Finance 2014 Limited	5801
209	Haitong International Finance 2015 Limited	5867
210	Haitong International Finance Holdings 2015 Limited	5892
211	Hanrui Overseas Investment Co Ltd	5081
212	Hanrui Overseas Investment Co Ltd	5680
213	Harvest International Company	5024
214	Henson Finance Limited	4312
215	Hesteel Hong Kong Co., Limited	5417
216	HKCG (Finance) Limited	4303
217	Hong Kong Red Star Macalline Universal Home Furnishings Limited	5278
218	Hong Kong Sukuk 2014 Limited	4223
219	Hong Kong Sukuk 2015 Limited	4226
220	Hong Kong Sukuk 2017 Limited	4233
221	Hongkong Baorong Development Limited	5595
222	Hongkong Electric Finance Limited	4505
223	Hongkong International (Qingdao) Company Limited	5023
224	Hongkong International (Qingdao) Company Limited	5048
225	Hongkong International (Qingdao) Company Limited	5874
226	Hongkong International (Qingdao) Company Limited	5875
227	HongKong Xiangyu Investment Co., Limited	4409
228	Huai'an Traffic Holding Co., Ltd.	5784
229	Huaneng Hong Kong Capital Limited	5000
230	Huaneng Hong Kong Capital Limited	5957
231	Huantaihu International investment Co., Ltd	5413
232	Huarong Finance Co., Ltd.	5774
233	Huarui Investment Holding Company Limited	85721
234	Huatai International Finance I Limited	5812
235	Huaxin Pharmaceutical (Hong Kong) Co., Ltd.	5297
236	Huaxing Investment Holding Company Limited	5363
237	Huayi Finance I Ltd.	5847
238	Huzhou City Investment Development Group Co., Ltd.	5074
239	ICBCIL Finance Co. Limited	5883
240	ICBCIL Finance Co. Limited	5884
241	IFC Development (Corporate Treasury) Limited	5715
242	IFC Development (Corporate Treasury) Limited	5756
243	IFC Development (Corporate Treasury) Limited	5757
244	IFC Development (Corporate Treasury) Limited	5949
245	Industrial and Commercial Bank of China (Asia) Limited	5686
246	Industrial and Commercial Bank of China (Asia) Limited	5976
247	Industrial and Commercial Bank of China (Macau) Limited	5797
248	Jiangsu Zhongguancun Holding Group (International) Co Ltd	5956
249	JIC Zhixin Limited	5031
250	JIC Zhixin Limited	5032
251	Jinan West City Investment and Development Group Co., Ltd.	4588
252	Jiuding Group Finance Co., Ltd	5246
253	Keen Idea Global Limited	5393

254	King Power Capital Ltd.	5822
255	King Power Capital Ltd.	5823
256	King Talent Management Limited	5026
257	Korean Reinsurance Company	5815
258	Lai Fung Bonds (2018) Limited	5087
259	Lai Sun Garment International Finance (2014) Limited	85986
260	Logo Star Limited	5996
261	LS Finance (2022) Limited	4571
262	LS Finance (2025) Limited	5535
263	LSD Bonds (2017) Limited	5270
264	Luso International Banking Limited	5078
265	Malaysia Sovereign Sukuk Berhad	5894
266	Malaysia Sovereign Sukuk Berhad	5895
267	Malaysia Sukuk Global Berhad	5633
268	Malaysia Sukuk Global Berhad	5634
269	MCC Holding (Hong Kong) Corporation Limited	5210
270	Meiya Power Company Limited	5964
271	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5552
272	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5553
273	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5688
274	MINMETALS BOUNTEOUS FINANCE (BVI) LIMITED	5689
275	Minmetals Land Capital Limited	5932
276	Minmetals Land Capital Limited	5933
277	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5053
278	Nanjing Yangzi State-owned Assets Investment Group Co., Ltd	5054
279	Nanyang Commercial Bank, Limited	5214
280	New Lion Bridge Company Limited	5290
281	New Rose Investments Limited	5344
282	Nuoxi Capital Limited	4401
283	Nuoxi Capital Limited	4402
284	Nuoxi Capital Limited	5436
285	NWD Finance (BVI) Limited	4561
286	Oceanwide Holdings International 2015 Co., Limited	5557
287	Oceanwide Holdings International 2017 Co., Limited	5035
288	Oceanwide Holdings International 2017 Co., Limited	5239
289	Oceanwide Holdings International 2017 Co., Limited	5251
290	Oceanwide Real Estate International Holding Company Limited	5798
291	Orient Huizhi Limited	5041
292	Oriental Capital Company Limited	5305
293	Oversea-Chinese Banking Corporation Limited	85912
294	OVPH Limited	5614
295	PB Issuer (No.4) Limited	5525
296	Peixian State-owned Assets Management Company Limited	5336
297	Petron Corporation	5905
298	PETRONAS Global Sukuk Ltd.	5882
299	PHBS Limited	4325
300	Phoenix Charm International Investment Limited	5332
301	Phoenix Lead Limited	5262
302	Poly Real Estate Finance Ltd.	5730
303	Poly Real Estate Finance Ltd.	5963
304	Press Metal (Labuan) Ltd.	5299
305	Profit Fast Limited	5578
306	Prosperous Ray Limited	5993
307	Prosperous Ray Limited	5994
308	Proven Honour Capital Limited	5516
309	Proven Honour Capital Limited	5641
310	PTT Public Company Limited	2527
311	Pulai Capital Limited	4540
312	Qinghai Province General Aviation Group Co., Ltd.	5064
313	Qinghai Provincial Investment Group Co., Ltd.	5289
314	Qinghai Provincial Investment Group Co., Ltd.	5380
315	Radiant Access Limited	5205
316	Rail Transit International Investment Company Limited	5643
317	Rail Transit International Investment Company Limited	5644
318	Reward International Investment Limited	5360
319	RKI Overseas Finance 2016 (A) Limited	5695
320	RKI Overseas Finance 2016 (B) Limited	4309
321	Rongshi International Finance Limited	5448
322	Rongshi International Finance Limited	5449
323	Rosy Capital Global Limited	85719
324	Rosy Delta Investments Limited	5097
325	SDSC Global Finance Limited	5303
326	SDSC International Finance Limited	5827
327	Shaanxi Xixian New Area Fengxi New City Development and Construction (Group) Co., Ltd.	5317
328	Shandong Energy Australia Pty Ltd	5248
329	Shandong Gold International Mining Investment Holding Limited	5572
330	Shandong Iron and Steel Xinheng International Company Limited	5063
331	Shandong Iron and Steel Xinheng International Company Limited	5601
332	Shanghai Commercial Bank Limited	5043
333	Shanghai Electric Power Finance Limited	5558
334	Shanghai Port Group (BVI) Holding Co., Limited	5255
335	Shanghai Port Group (BVI) Holding Co., Limited	5256
336	Shanghai (Hong Kong) International Investments Limited	5435
337	Shine Power International Limited	5777
338	Silver Sparkle Limited	5697
339	Sino Trendy Investment Limited	4407
340	Sinochem Global Capital Co., Ltd.	5935

341	Sinochem Overseas Capital Company Limited	4501
342	Sinochem Overseas Capital Company Limited	4502
343	Sino-Ocean Land Treasure Finance I Limited	5781
344	Sino-Ocean Land Treasure Finance I Limited	5782
345	Sino-Ocean Land Treasure Finance II Limited	5868
346	Sino-Ocean Land Treasure Finance II Limited	5869
347	Sino-Ocean Land Treasure III Limited	5276
348	Skyland Mining (BVI) Limited	5228
349	Skysea International Capital Management Limited	4529
350	SmarTone Finance Limited	5917
351	Societe Generale	5947
352	Societe Generale	5959
353	Societe Generale	5960
354	Societe Generale	5961
355	Societe Generale	5962
356	SPIC 2016 US dollar Bond Company Limited	5324
357	SPIC 2016 US dollar Bond Company Limited	5325
358	State Grid Overseas Investment (2013) Limited	5953
359	State Grid Overseas Investment (2013) Limited	5954
360	State Grid Overseas Investment (2013) Limited	5955
361	State Grid Overseas Investment (2014) Limited	5741
362	State Grid Overseas Investment (2014) Limited	5742
363	State Grid Overseas Investment (2014) Limited	5743
364	State Grid Overseas Investment (2016) Limited	5649
365	State Grid Overseas Investment (2016) Limited	5650
366	State Grid Overseas Investment (2016) Limited	5651
367	State Grid Overseas Investment (2016) Limited	5652
368	Strategic International Group Limited	5241
369	Sunshine Life Insurance Corporation Limited	5627
370	Sunshine Life Insurance Corporation Limited	5628
371	Sunshine Life Insurance Corporation Limited	5629
372	Suqian Economic Development (BVI) Co., Limited	5302
373	Taikang Insurance Group Inc.	5349
374	The Hongkong and Shanghai Banking Corporation Limited	4323
375	Tianfang Jincheng (BVI) Limited	4403
376	Tianjin Infrastructure Construction & Investment Group Co., Ltd.	5673
377	Tianjin Lingang Investment Holding Co., Ltd	5281
378	Tianjin Real Estate Group Co., Ltd	5286
379	Tianqi Finco Co., Ltd	5036
380	Tong Jie Limited	5906
381	Top Luxury Investment Limited	5598
382	Top Wise Excellence Enterprise Co., Ltd.	5402
383	Towngas (Finance) Limited	6018
384	Treasure Generator Limited	5709
385	Triceratops Capital Co., Limited	4408
386	Tuspark Forward Ltd.	5581
387	Tuspark Forward Ltd.	5735
388	TVB Finance Limited	4577
389	Unigroup International Holdings Ltd.	5596
390	Unigroup International Holdings Ltd.	5597
391	Union Life Insurance Co., Ltd.	4322
392	Urumqi Gaoxin Investment and Development Group Co., Ltd.	5073
393	Wakala Global Sukuk Berhad	4519
394	Wanda Properties International Co. Limited	6023
395	Wanda Properties Overseas Limited	5997
396	Want Want China Finance Limited	5446
397	Want Want China Finance Limited	5944
398	Wise Source International Limited	5309
399	Wuhan Metro Group Co., Ltd.	5939
400	Wuhan State-owned Assets Management Limited Company	5070
401	Xiangxing Overseas Investment Co., Ltd.	5329
402	Xiangyu Investment (BVI) Co., Ltd.	5683
403	Xihui Haiwai I Investment Holdings Co., Limited	5679
404	Xingang International Holding Limited	5330
405	Xinhu (BVI) Holding Company Limited	5382
406	Xinxing Industry Investment Company Limited	5065
407	Xuzhou Economic and Technology Development Zone International Investment Co., Ltd.	5675
408	Yancoal International Resources Development Co., Limited	4552
409	Yancoal International Resources Development Co., Limited	5424
410	Yancoal International Trading Co., Limited	5753
411	Yango (Cayman) Investment Limited	5414
412	Yangzhou Urban Construction State-Owned Assets Holding (Group) Co., Ltd.	5072
413	Yankuang Group (Cayman) Limited	5044
414	Yihua Overseas Investment Ltd	5293
415	Yinchuan Tonglian Capital Investment Operation Co., Ltd.	5247
416	Yingde Gases Investment Limited	5793
417	Yingde Gases Investment Limited	5926
418	YONGDA Investment Limited	5543
419	Yunnan Energy Investment Finance Company Ltd.	5632
420	Yunnan Energy Investment Overseas Finance Company Ltd.	5012
421	Yunnan Energy Investment Overseas Finance Company Ltd.	5013
422	Yunnan Energy Investment Overseas Finance Company Ltd.	5326
423	Yunnan Energy Investment Overseas Finance Company Ltd.	5327
424	Yunnan Provincial Investment Holdings Group Co., Ltd.	5624
425	Zhaohai Investment (BVI) Limited	5546
426	Zhaohai Investment (BVI) Limited	5547
427	Zhenjiang Cultural Tourism Industry Group Co., Ltd.	5319

428	ZHIYUAN Group (BVI) Co., Ltd.	5603
429	Zhongtai International Bond 2017 (BVI) Company Limited	5263
430	Zhongyuan Sincere Investment Co. Ltd.	5095
431	Zhuzhou City Construction Development Group Co., Ltd.	5710
432	Zoucheng Limin Construction Development Company Limited	5079

Category 3 exemptions for open-ended CIS in corporate form whose shares are listed on The Stock Exchange of Hong Kong Limited

	Name	Stock codes
1	db x-trackers FTSE VIETNAM UCITS ETF	3087
2	db x-trackers FTSE CHINA 50 UCITS ETF (DR)	3007
3	db x-trackers MSCI BRAZIL INDEX UCITS ETF (DR)	3048
4	db x-trackers MSCI KOREA INDEX UCITS ETF (DR)	2848
5	db x-trackers MSCI PACIFIC EX JAPAN INDEX UCITS ETF (DR)	3043
6	db x-trackers MSCI RUSSIA CAPPED INDEX UCITS ETF	3027
7	db x-trackers MSCI TAIWAN INDEX UCITS ETF (DR)	3036
8	db x-trackers MSCI USA INDEX UCITS ETF	3020
9	db x-trackers MSCI WORLD INDEX UCITS ETF	3019
10	db x-trackers NIFTY 50 UCITS ETF	3015
11	db x-trackers CSI300 UCITS ETF	3049
12	db x-trackers MSCI CHINA INDEX UCITS ETF (DR)	3055
13	db x-trackers MSCI INDONESIA INDEX UCITS ETF	3099
14	db x-trackers MSCI MALAYSIA INDEX UCITS ETF (DR)	3082
15	db x-trackers MSCI THAILAND INDEX UCITS ETF (DR)	3092
16	db x-trackers MSCI PHILIPPINES IM INDEX UCITS ETF (DR)	3016
17	db x-trackers MSCI SINGAPORE IM INDEX UCITS ETF (DR)	3065

Category 4 exemptions for exchange participants of The Stock Exchange of Hong Kong Limited

	Name
1	China Innovation Market Service Company Limited
2	China Investment Information Services Limited

Category 5 exemptions for clearing houses that are clearing participants

	Name
1	China Securities Depository and Clearing Corporation Limited